

# WCC Electronic Social Care Record (ESCR) standards

These standards apply to Electronic Social Care (CESCR, AESCR) documents held internally using SharePoint.

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## Scope

These standards apply to all electronic documents that staff create in WCC that form part of an Electronic Social Care Record. This includes paper documents that are scanned and uploaded, as well as documents created digitally.

These standards form part of the Warwickshire County Council (WCC) Information Governance Framework and are mandatory for all staff. The latest version can be found on [www.warwickshire.gov.uk/im](http://www.warwickshire.gov.uk/im).

## Approved locations

Electronic documents that are deemed to be part of the “social care record” must be held in the electronic social care record (ESCR) accessed internally by staff using CareFirst/Mosaic care systems. The ESCR currently exists for children and adult social care records in the form of two distinct repositories (C-ESCR and A-ESCR). A further repository for Early Help is in the process of being developed.

## Uploading documents and escalation

Documents should be cleared from the Upload network folder and quality assured in ESCR as soon as possible, otherwise the ESCR will not be current.

Monthly reports, highlighting the number of documents that have been sitting in the Upload network folder and the ESCR section ‘Documents for QA’ for longer than 10 days, are



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emailed to Operations Managers and Team Administrators to prompt action. Operations Managers should escalate any issue with documents remaining in these folders for more than a month to the Senior Leadership Team (SLT) in order for them to action.

Reports are not currently conducted on WIP or Download network folders.

## Edit and Auditing

Only Operations Managers and assigned Team Administrators will have document edit (metadata) and audit capabilities within ESCR, including the ability to delete documents. A reason for deletion, which is managed within ESCR applications, must be selected before the document is removed from the client's file. ESCR does not assign review or disposal dates to documents.

## Document formats

UK Government have introduced open standards, which all public sector organisations are expected to use for publishing, and WCC will be working towards these.

If a static document is used for view/download and is/are not intended for editing, then PDF (Portable Document Format) should be used, with PDF/A (PDF/Archive) ideally used to conform to open standards. This is the default if paper documents are scanned or emails saved.

Other documents may be in the format they were created, normally MS Office format, e.g. Word, Excel. However the documents should be accessible by anyone who has access, including the customer. **Documents must not be password protected or have tracked changes on.**

Documents will open in read only mode when viewing them via ESCR so users cannot make changes to the version held in the ESCR repositories.

## Language

Documents should be in their original form, i.e. English. Where a document is translated the English version must also be stored. This includes use of shorthand and their translations.

## Metadata

Metadata is data that describes digital information according to a set of standards and helps browsers/search engines to find information and enables users to filter searches. Where possible we use recognised [metadata standards](#) and the UK Government open digital standards.



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Most of the metadata WCC uses is pre-set and allows authors to use the default or select a value. Some metadata requires the author to enter a value or description. Below are some of the metadata you need to understand. A full list is contained in the Appendix.

## Document Title / Name

The Document Title in ESCR is by default either the network file name or a unique reference number given to a scanned document. The document title should not be its scanned reference number but can be left as its network file name provided it consists of the following [in this order]:

[Client] Surname, first name, brief description of document, date, file type [e.g. .pdf]

The file type is usually added by default when the document format is defined, i.e. there is no need for document authors to type it in themselves, otherwise it will appear twice.

It is essential that file naming conventions are followed. Guidance on naming conventions are available on the IM webpage [www.warwickshire.gov.uk/immanagingelectronic](http://www.warwickshire.gov.uk/immanagingelectronic), under the section 'File / Folder naming conventions and version control'. See document titled "[Folder and file naming](#)".

In summary:

- Ideally use upper case with no spaces to describe, e.g. 'ESCRMetadataStandards'
- Use underscore (\_) or hyphens (-) instead to make the name readable, e.g. CDC-document-standards. However this does increase the length of the file name. Ideally names should be no longer than 25-50 characters.
- Where using acronyms agree common team ones.
- The file name should be meaningful to users - staff/the public, and describe the contents of a document.
- Avoid abbreviations unless meaningful
- **Do not use** the following characters in names : \* : \ / < > | " ? [ ] ; ( ) = { } + & £ \$ , . ^ %

## File / Format Type

Defines the format of the file/document. See the 'Document Formats' section above.

## Protective Marking

WCC protective markings are based on information risk. The default used by the ESCR system is "**Confidential**".

"**Confidential-Restricted**" should be selected if the the contents should not be released or shared in full without a review.



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WCC protective markings are defined at:

<http://apps.warwickshire.gov.uk/api/documents/WCCC-1073-263> with examples and how they map to the UK Government security classifications.

## Appendix - metadata terms

Key:

Type - M = Mandatory, O = Optional, C = Calculated

### Input


Metadata	Type	Default	Notes
<b>Documents properties / details</b>			
P Number	M		Care System reference. Links through to a Client's file in CareFirst.  <i>When Mosaic becomes active this will be replaced by an 'M' number.</i>
Document Title	M	Network File Name / Scanned document reference number	User defined. Title of the document to be displayed on the screen. Users should follow the naming convention: '[Client]Surname, first name, brief description of document, date, file type [e.g. .pdf]'. 150 character limit.
Document Category	M		Pick list from SP termstore [AESCR Document Type / CESCR Document Type]  <i>The option 'BackFile' indicates document was part of a project uplift of documents previously held on a BU Drive.</i>
Protective Marking	M	Confidential	Pick list from SP termstore: Public, Internal, Confidential, Confidential-Restricted
Restricted Reasons	M		If the protected marking of



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			'Confidential-Restricted' is given to a document CESC users will be prompted to state for this via a pick list from SP termstore [CESCR Restricted Reason]. Though not currently an option for AESCR / Early Help users this is subject to change.
Received Date	M	Date	User defined (DD/MM/YYYY)
Effective Date	O	Date	User defined (DD/MM/YYYY)
Reviewed client relation(s)?	M		Tick box
Available Reasons	M		Pick list managed in application. When Team Administrators delete a document they will be prompted to select from a drop down menu a deletion reason.

### Generated

Documents for QA			
Scanned By	C	User login (badge)	User first name then surname. Will sort alphabetically by first name when selected to do so.
Scanned Timestamp	C	Date & time	DD-MM-YYYY HH:MM:SS
Quality Assurance	C		Approve / Reject
Status	C	Days since scanned	Status field is left blank until the document has been sitting in the Documents for QA section of ESCR for more than 10 days. From which point a red flag will appear alongside the figure of how many days the document has been sitting in the Documents for QA section, e.g. <div style="display: flex; align-items: center;"> <div style="width: 10px; height: 10px; background-color: red; margin-right: 5px;"></div> 11 days old. </div> All document entries with red flags marked against them will automatically sit at the top of the list within Documents for QA..



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Scanned document properties / scan details			
UserName	C	Username for WCC network login.	Calculated from WCC ID Badge used to log into the Multi Functional Device to enable scanning.
SFP_DPI	C		Generated from MFD.
SFP_Size	C		Generated from MFD.
Pages	C		Generated from MFD.
ColouredPages	C		Generated from MFD.
Coloured	C		Generated from MFD.
Documents properties / details			
Last Update	C	Date & time	DD-MM-YYYY HH:MM:SS
Record Status	C		Active / Archive
Upload By	C	User login (system)	First name and Surname
WCC Subject	C	Childrens Social Care / Adult Social Care	This is only viewable from the Audit details of a document, viewable only to denoted Team Administrators.
Is 'Private' document?	C	Yes / No	This is only viewable from the Audit details of a document, viewable only to denoted Team Administrators.

'**Client Details**' and '**Client Relations**' information is pulled through from CareFirst/Mosaic to enable users within ESCR know which client file they are working within / linking ESCR uploaded documents to in CareFirst/Mosaic.

### Further information and guidance

Problems with access - contact [ICT Service Desk online](#)

General information governance and records management advice is available from Information Management:



## **WCC Electronic Social Care Record (ESCR) standards**

Web: [www.warwickshire.gov.uk/im](http://www.warwickshire.gov.uk/im)

Email: [informationmanagement@warwickshire.gov.uk](mailto:informationmanagement@warwickshire.gov.uk)

Tel: 01926 418633